

11-14-2008

November, 14, 2008 Meeting Minutes

Shawnee State University

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**SHAWNEE STATE UNIVERSITY
BOARD OF TRUSTEES**

**Meeting Minutes
November 14, 2008**

Swearing-in of New Board Members

Mr. McCoy said the first order of business would be the swearing-in of SSU's new Board member, Ms. Melissa Higgs-Horwell. Mr. McCoy administered the oath of office to Ms. Higgs-Horwell and presented her with a Shawnee State University lapel pin. Mr. McCoy welcomed Ms. Higgs-Horwell to the SSU Board of Trustees and a round of applause followed.

Chairperson Jack McCoy called the meeting to order at 1:20 p.m. noting the meeting was in compliance with RC § 121.22(F).

Roll Call

Members Present: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren, Ms. Dunham and Ms. Stricklett

Members Absent: None

Approval of the November 14, 2008 Agenda

Mr. Mooney moved and Mr. Harcha seconded a motion to approve the November 14, 2008 agenda. Without discussion, the Board unanimously approved said agenda.

Approval of the September 12, 2008 Board Meeting Minutes

Mr. Harcha moved and Dr. Ball seconded a motion to approve the September 12, 2008 Board meeting minutes. Without discussion, the Board unanimously approved said minutes.

President's Report

Dr. Morris summarized the written report that she submitted to the Board and is made a part of these minutes.

Committee Reports

Academic Affairs Committee – Dr. Gail Ball

Dr. Ball reported on behalf of the Academic and Student Affairs Committee and said the committee had no action items.

Dr. Ball reported on the Academic and Student Affairs Committee informational items.

Dr. Ball said Ms. Casey Smith, President of the Student Programming Board, reported on the activities of the SPB. Among the activities noted were the Halloween dance and the upcoming homecoming activities.

Dr. Ball reported that Mr. Jeff Hamilton, Interim Athletic Director, reported on the Fall Bear Run and the fall sports. She said Mr. Hamilton reported that there were 934 participants that pre-registered for the Fall Bear Run and that 300 participants registered the day of the event. She also noted that Mr. Hamilton said the Spring Bear Run will be held the third Wednesday in April, 2009. Dr. Ball said the men's and women's cross country teams would be participating in tournament action as well as the women's volleyball team who had a record of 36-2 for the season. Dr. Ball reported that the Waller Gym work will be completed in December.

Dr. Ball said Dr. Michael Hughes, Director, Counseling and Psychological Services, reported on the 2008 Fall Bear Care Health Fair. She said Mr. Hughes reported that there over 200 participants with 20 commercial agencies participating. She reported that this was a great educational event.

Dr. Ball reported that Dr. Dave Todt, Provost and Vice President for Academic Affairs, reported on the Shawnee 6.0 Conference that was held on October 31, 2008. Dr. Ball said Mr. Jason Conaway, with Electronic Arts, was the keynote speaker. Dr. Ball noted that over half the participants in the conference this year were high school students. She said the Shawnee Conference for interactive digital technology establishes Shawnee State University as the regional leader in the development of a high tech education and business climate.

Dr. Ball said Dr. Todt also presented a 20/20 planning update to the Committee. She said the report is expected to be completed in the spring of 2009.

Dr. Ball said Dr. Todt reported on the recently completed National Council for the Accreditation of Teacher Education (NCATE) visit. She reported that all six standards of NCATE were met.

Dr. Ball said that Dr. Hughes also reported on the trends and uses of the Shawnee State university's counseling services. She said Dr. Hughes reported that counseling across the country is increasing because the stigma associated with seeking counseling is not what it used to be and has become more main stream.

Finance and Facilities – Mr. Howard Harcha

Mr. Harcha reported on behalf of the Finance and Facilities Committee and said the Committee had five action items.

Mr. Harcha said the Finance and Facilities Committee recommended approval of Resolution F27-08, Shawnee State University Fifteen-Year Plan, House Bill 251. Mr. Harcha said Ohio House Bill 251 mandates that universities reduce consumption by 20% by the year 2014 and

adopt a fifteen-year energy efficiency plan. Mr. Harcha moved and Mr. Coleman seconded a motion to approve Resolution F27-08.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Mr. Harcha said the Finance and Facilities Committee recommended approval of Resolution F28-08, Shawnee State University 403(b) Plan. Mr. Harcha said that approval was needed for the University to enter into an agreement with a third-party administrator for the University's elective annuity plans in compliance with newly enacted federal law. Mr. Harcha noted that there are 80 employees participating in the plans. Mr. Harcha moved and Mr. Mooney seconded a motion to approve Resolution F28-08.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Mr. Harcha said the Finance and Facilities Committee recommended approval of Resolution F29-08, Reorganization of Shawnee State University's Security Department. Mr. Harcha said Shawnee would move from contracting for security services to in-house security services. Mr. Harcha said approval of this resolution would allow for a full-time chief and three full-time officers. Mr. Harcha moved and Mr. Coleman seconded a motion to approve Resolution F29-08.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Mr. Harcha said the Finance and Facilities Committee recommended approval of Resolution F30-08, Shawnee State University Development Foundation Member Appointments. Mr. Harcha noted that these appointments would be effective January 1, 2009. Mr. Harcha moved and Dr. Ball seconded a motion to approve Resolution F30-08.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Mr. Harcha said the Finance and Facilities Committee recommended approval of Resolution F31-08, STEM, Wired OVITA Regional Cyber Center and Nursing Programs – DHHS. Mr. Harcha said approval of this resolution would allow for the submission of a grant renewal and two new grant proposals. The grant renewal proposal for STEM is for one year in the amount of \$300,000 and includes indirect and University in-kind). The two new grants are for the Wired

OVITA Regional Cyber Center in the amount of \$399,915.60 for two years and a Nursing grant from the Department of Health and Human Services (DHHS) in the amount of \$162,000 for one year of a three-year period. Mr. Harcha moved and Mr. Warren seconded a motion to approve Resolution F31-08.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Mr. Harcha reported on the Finance and Facilities Committee informational items.

Mr. Harcha said the fiscal year 2008 and the related audit have been completed. He said Mr. Dennis Obyc, representing the audit firm of Crowe Horwath LLP, reported that there were no deficiencies at Shawnee State and the audit has already been certified. Mr. Harcha thanked Ms. Boyles and her staff for a job well-done.

Mr. Harcha said that a summary was provided to acknowledge the U.S. Small Business Administration FY 2009 Congressional Earmark Program for funding to equip an Immersive Technology and Arts Center (ITAC) in the amount of \$250,000. Mr. Harcha said Mr. Carl Hilgarth discussed this summary with the Committee and said it had been under consideration for about two years.

Mr. Harcha said in accordance with Policy 5.16Rev., Personnel Appointments, the attached list summarizes personnel action taken between August 30, 2008 and October 27, 2008. He said all personnel activity was reported in the attached consolidated report.

Mr. Harcha said Ms. Boyles reviewed the general fund revenues and expenditures pace report, fiscal year to date through September 2008. Mr. Harcha said it is in the early part of the year but revenue is 6% lower than last year in part due to the reduction in interest income. He also noted that expenditures were up 6% due to increased enrollment and additional faculty to accommodate the rise in enrollment.

Mr. Harcha said the capital status report reflects current information on each capital project which included that the facilities office is 90% complete, the Rhodes gym floor installation is completed, the UC renovation is moving ahead but in the early stages and the Founders' Plaza planning is 90% complete.

Mr. Harcha said Ms. Boyles reviewed the University's investment activity as of September 2008.

Reports, if any, from Board Liaisons with other Organizations

None.

New Business

Mr. Harcha said that the USO strategic plan that was released in March, 2008 requires the President to submit to the Chancellor a document indicating how the University will contribute to meeting the system-wide accountability measures by November 30, 2008. Mr. Harcha moved and Mr. Mooney seconded a motion to approve Resolution E07-08, Shawnee State University Institutional Accountability Targets.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Mr. Lodwick said the University System of Ohio Strategic Plan released on March 31, 2008 requires each institution to submit a Good Faith Estimate Biennial Affordability Report to the Chancellor by November 30, 2008. He noted that these are estimates only and approval of this resolution would authorize the President to respond to the requirements of the Strategic Plan. Mr. Lodwick moved and Dr. Ball seconded a motion to approve Resolution E08-08, Shawnee State University Affordability – Good Faith Estimates.

Ayes: Dr. Ball, Mr. Coleman, Mr. Harcha, Ms. Higgs-Horwell, Mr. Lodwick, Mr. McCoy, Mr. Mooney, Ms. Seif, Mr. Warren

Nays: None

Comments from Constituent Groups (if any) and the Public

Mr. Carl Hilgarth addressed the Board and said that the “We Are IT” Program was being held on campus today. He said this program introduced programs and careers to 101 eighth grade female students. He thanked the Board for their support of this program. Mr. Hilgarth also noted that Plastics Day would be held on April 10, 2009 and from the event held last year, the plastics program had six students apply to that program.

Other Business

None

Executive Session, if necessary

None.

Adjournment

Ms. Seif moved and Mr. Coleman seconded a motion to adjourn the meeting at 1:56 p.m.



Chairperson, Board of Trustees


Secretary, Board of Trustees

**President's Report to the
Shawnee State University Board of Trustees
November 14, 2008**

Board of Trustees' Workshop:

On October 23, 2008, we were pleased to host the Board in a workshop covering the USO Strategic Plan Key Strategies on accountability measures and affordability. Minutes of the workshop are attached.

Presidential Election Activities:


With the completion of the 2008 Presidential Election campaign, I am pleased to report that our students had opportunities to participate in a variety of activities related to the campaign. As you know, we registered over 700 new voters on campus and the Provost and I sponsored a Forum 2008 Project which allowed student and staff members to pass out materials and set up information tables on campus. Additionally, students had the opportunity to participate in the Obama campaign rally held on the Alumni Green. A condition of our negotiations with the campaign staff was guaranteed VIP access for over 300 students. Finally, our students had the opportunity to respond to a national survey intended to identify which university had the highest voting rate.

Veterans Recognition Day:

Shawnee State University partnered with area residents for the 16th annual Veterans Recognition Day on Monday, November 10th held here on campus. Col. Terry Johnson, Medical Detachment Commander, Ohio Army National Guard, was the guest speaker. The event featured a number of exhibits including the Shawnee State University Veterans Wall, U.S. historical flags, the U.S. Army Laser Shot, antique military jeeps and more. There was also a showing of Ken Burns' documentary on World War II entitled "War."

Daehler Tennis Center:

The new Dr. William E. Daehler Tennis Center was dedicated on Sunday, October 26. The new state-of-the-art outdoor tennis facility has six courts. A free tennis clinic was held by the SSU Women's Tennis Team and Coach Billy Levi following the dedication ceremony. The new tennis center is a tremendous asset for our community and the size and location of the courts are a big boost for our tennis team.

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Breast Cancer Awareness:

October was Breast Cancer Awareness month and there were a number of activities on campus to increase awareness and to raise money for breast cancer research. The Women's Center raised \$900 for breast cancer research on National Denim Day on October 3.

On October 30, the Nursing Department held the second annual "Never Too Young...Never Too Old" luncheon to raise awareness about breast and cervical cancer. The luncheon was sponsored by Fifth Third Bank. Before, during and after the luncheon, a used clothing boutique was held in the Founder's Room. The boutique raised over \$200 with the proceeds going to the university's new mobile health unit.

Emergency Siren:

In a continued effort to keep our students and staff safe, an emergency siren alert system has been installed. Two sirens have been installed, one on the west side of campus, the other on the roof of the Athletic Center. The sirens are automatically activated by the National Weather Service during tornado warnings. The system includes an intercom which can be activated by campus security to alert the campus of other emergencies. The siren alert system is tested every Wednesday at noon.

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11/25/18
Secretary, SSU Board of Trustees Date

Minutes of Board Workshop
USO Strategic Plan, Key Strategies Pgs 68 and 103
October 23, 2008

President Morris convened the workshop at 3 p.m. in the Selby Board Room.

Board members present included: Jack McCoy, Elizabeth Seif, Howard Harcha, Jim Warren, Melissa Higgs-Horwell, and Carrie Dunham

Other attendees: Rita Rice Morris, Elinda Boyles, David Todt, and Jim Settle

President Morris presented the Board with an overview of requirements of Boards of Trustees in the USO Strategic Plan key strategies, pages 68 and 103.

Vice President for Finance and Administration, Elinda Boyles, reviewed the current year budget and the potential impacts of the loss of investment revenue upon the budget to provide a context for discussion of the key strategy requirements.

President Morris reviewed the elements of the USO Accountability Measures (Page 103, Key Strategy) and discussed possible strategies for addressing them.

Vice President Boyles reviewed the elements of the USO Key Strategy, page 68 and discussed possible strategies for addressing them.

The workshop adjourned at 6:45 p.m.

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Expeditions Beyond Imagination was the sixth annual conference for Interactive Digital Technology at Shawnee State University. Three hundred twenty participants, including students, educators, and industry leaders met in the Vern Riffe Center for the Arts, October 31, 2008. Jason Conaway, technical engineer, with **Electronic Arts** was the keynote speaker. Conaway, who resides in Columbus, Ohio, leads teams of game developers at Electronic Arts. The California based company is the world's leading developer, marketer, and publisher of video games.

The Shawnee Conference for Interactive Digital Technology tradition began in October 2003 when 40 individuals from Ohio, Kentucky and W. Virginia convened on campus with the purpose of establishing a **region of excellence** in interactive digital technology that will benefit the greater Ohio Valley Region.

Through the coordinating efforts of the ITAAO (IT Alliance of Appalachian Ohio) and educators and economic development leaders from the three states, the group has convened annually on the Shawnee State University campus. The conference attendance has expanded to include high school and university students and their instructors from throughout the region. The event has attracted an impressive succession of top-notch video game and serious game industry leaders as keynote presenters including Jerry Heneghan with **Virtual Heroes**, Eric Johnston with **LucasArts**, Peter Tamte with **Destineer Studios**. It has also become a showcase of successful small businesses, and faculty and student IDT research projects. Concurrent sessions feature presentations by IDT business owners and faculty from partner universities, including Shawnee State University, Ohio University, Kent State Tuscarawas, University of Rio Grande, and the Ohio Supercomputer Center. Topics include entertainment industry, serious games and simulations, creating virtual worlds, and Second Life. This year's conference also featured a demonstration of **motion capture** technology.

The Ohio Valley Information Technology Alliance WIRED Project provided funding and awarded scholarships to students who exhibited IDT projects. (see attached list). The OU Voinovich School for Leadership and Public Affairs joined the partnership with its Ohio Third Frontier Entrepreneur Signature Program - an initiative which provides business support and investment to IDT companies and entrepreneurs.

The **Shawnee Conference** for Interactive Digital Technology establishes Shawnee State University as the regional leader in the development of a high tech education and business climate.



Shawnee 6.0 Student Competition information:

Shawnee State University: \$750.00

Darrell Caldwell, Chris Kapelski

Project name: SWATT team

Ohio University: \$1,000.00

Anthony Urso, Brandon Evans

Project name: Blazer Destroyed Mass

Washington State Community College: \$1,500.00

Sean Goings, Kris Baumann, Tyler Barnes, William White

Project name: Crysis

Scioto County Career Center: \$1,500.00.

Kyle Dicks, Michael Noel, Shawn Horner

Project name: not named


River Valley High School: \$1,000.00

Lindsay Stover, Elizabeth Hamilton, Kristin Rogers

Project name: not named

Report submitted by:

Virginia Moore, Director
University Outreach Services
November 14, 2008

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	11/15/08
Secretary, SSC Board of Trustees	Date

RESOLUTION F27-08

SHAWNEE STATE UNIVERSITY FIFTEEN-YEAR PLAN H.B. 251

WHEREAS, the 126th General Assembly of the State of Ohio enacted House Bill No. 251 that requires state universities to establish goals that achieve energy efficiency and reduce energy consumption; and

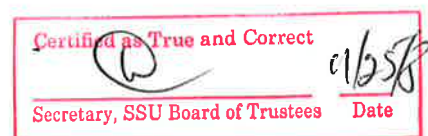
WHEREAS, in accordance with the requirements of House Bill No. 251, the Inter-University Council in consultation with the Office of Energy Services of the Department of Administrative Services, developed and approved guidelines in June of 2007 for the purpose of assisting each state institution of higher education to develop by the end of 2008 a fifteen-year plan for phasing in energy efficiency and conservation projects; and

WHEREAS, the Shawnee State University H.B. No. 251 Fifteen-Year Plan presented for board approval follows the guidelines and therefore meets the requirements of the legislated mandates of Ohio HB 251; and

WHEREAS, the President recommends the adoption of this Plan as required under the legislated mandates;

NOW THEREFORE BE IT RESOLVED that the Board of Trustees hereby approves the attached HB 251 Fifteen-Year Plan for Shawnee State University and authorizes the President to direct that the Plan be executed as presented and to assure ongoing subsequent compliance with regulatory mandates.

(November 14, 2008)



SHAWNEE STATE UNIVERSITY
HOUSE BILL 251 FIFTEEN-YEAR PLAN
November 14, 2008

In accordance with the requirements of House Bill Number 251, Shawnee State University has developed the following fifteen-year plan for use and approval by the Board of Trustees to ensure energy efficiency and reduce energy consumption in existing and planned facilities at Shawnee State University.

This plan should be understood to be only one particular item in the process to constantly monitor and make recommendations for the development and implementation of a comprehensive plan which will serve as both a long-term vision and a blueprint for campus energy conservation efforts. The plan will reconcile and align the goals of House Bill 251 in order to direct the University's progress affecting all functional areas of campus operations.

Introduction

House Bill 251 introduced in May, 2005, and signed by the Governor in January, 2007, aims to promote the State of Ohio as a leader in energy efficiency. It focuses, in part, on energy consumption in state-funded facilities (including those of state institutions of higher education). As such, it addresses the authority of university and college boards of trustees regarding on- and off-campus construction and leasing.

The bill requires that each Board of Trustees develop its own fifteen-year plan for phasing in energy efficiency and conservation projects. The guidelines must incorporate best practices into energy efficiency standards and plans and must provide that project impact assessments include the fiscal effects of energy efficiency and conservation recommendations and plans.

Further, the guidelines must include a goal of reducing on- and off-campus building energy consumption by at least 20% by 2014, using calendar year 2004 as the benchmark year. The bill authorizes the guidelines to recognize the diverse nature and different energy demands and uses of such buildings, as well as measures already taken to increase building efficiency and conservation.

The guidelines also must prescribe minimum energy efficiency and conservation standards for any new, on- or off-campus capital improvement project with a construction cost of \$100,000 or more. Those standards must be based on general building type and cost-effectiveness. Additionally, the guidelines must prescribe minimum standards for leased, off-campus spaces of at least 20,000 square feet.

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Goals

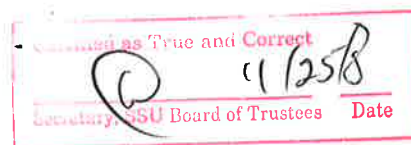
The primary goal of this fifteen-year plan is to reduce energy consumption on all campus facilities by 20% by the end of fiscal year 2014 as compared to fiscal year 2004 as the benchmark year. It is recommended that mmBTU per gross square foot by campus be the comparison measure for benchmarking. This shall be calculated each fiscal year. Where possible, it should also factor in heating and cooling degree days, as well as conditioned and non-conditioned space.

The secondary goal of this fifteen-year plan is to obtain, as best as is possible, a similar reduction of carbon dioxide emission levels. As stated in the House Bill, the goals of each institution should recognize the diverse nature and different energy demands and uses of such buildings and measures already taken to increase building energy efficiency and conservation. Moreover, an institution's goals should be adjusted to reflect their previously recognized efforts in energy conservation within the context of their academic mission.

Strategies

In order to reach the goals stated above, Shawnee State University will utilize the following strategies:

1. Every capital improvement project will be evaluated according to the energy efficiency and carbon dioxide emission levels of its design as well as its impact on the efficient use of existing space on campus;
2. For current capital improvement projects in the design phase with anticipated construction costs in excess of \$100,000, SSU will exceed ASHRAE 90.1.2004 (as referenced in the current building code) efficiency standards by 10 percent for new construction projects and 7.5 percent for renovation and other projects. For projects with programming/design work commencing after July 1, 2010, SSU will exceed ASHRAE 90.1.2004 efficiency standards by 20 percent for new construction projects and 15 percent for renovation and other projects;
3. For leased spaces of 20,000 square feet or more, all effort will be made to comply with the standards outlined in section (1) above;
4. Strive to direct an adequate amount of capital budget allocations toward innovative infrastructure efficiency projects targeting reductions in energy, water and/or carbon emissions. This may include capital budget projects already identified such as total building rehabilitations which are projected to produce energy savings. Further, additional projects will be developed and implemented as the 10-year capital budget is updated;



5. Strategic metering standards will be developed by the Facilities Department and these standards will be utilized on all capital improvement projects that involve new construction or renovations of existing buildings;
6. Create one new energy engineer position when funding is available to support further enhancement of the energy conservation program;
7. Explore establishment of an ongoing internal funding stream for resource efficiency projects;
8. Where applicable, external funding opportunities will be researched and pursued to assist in the financing of projects positively affecting our energy efficiency, overall energy consumption, and/or carbon footprint;
9. In recognition of our severe dependence on coal generated electricity, its resultant impacts on our carbon footprint, and rising utility costs, we will explore alternative fuel sources in all critical evaluations of our future energy needs and infrastructure;
10. Aggressively pursue education and outreach efforts which stimulate voluntary conservation and integration between the academic mission of the institution and sustainability goals and projects.

Funding Mechanisms

CAPITAL BUDGET ALLOCATIONS

Shawnee State University receives a capital allocation from the State of Ohio roughly every two years toward construction, renovation, and infrastructure upgrades. In the current biennium, this allocation totaled approximately \$2.4 million.

DEBT/PERFORMANCE CONTRACTING

Since 1994, the State of Ohio has allowed Ohio's public colleges and universities to hire companies to improve energy efficiency based on the amount of money the company promised to save, instead of relying on the typical threshold of giving the job to the lowest and best bidder. This law enables state agencies to enter into performance contracting agreements, which guarantee the performance of the building and the expected savings. Projects can be paid for out of actual energy or water conservation measures in buildings by professional contractors. Equipment is installed at no initial cost to the University, in return for part of the energy savings.

REVOLVING ENERGY FUND OR ENERGY MANAGEMENT FUND DEVELOPMENT

Revolving loan funds involve the allocation of an initial sum of money which then finances conservation and efficiency projects that have a quantifiable monetary savings or avoidance. A portion of the returns from these projects is reinvested into the fund until the project has been paid off. The money is then reused for additional projects.

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Secretary, SSU Board of Trustees	Date

GRANTS AND GIFT OPPORTUNITIES

With increasing public support for campus sustainability, reducing the institution's carbon footprint and conserving energy, there are emerging opportunities to pursue grants through various agencies and organizations as well as gifts from individuals. These are particularly appropriate for projects with considerable environmental benefits which may not boast a suitable payback period for implementation based on cost savings or avoidance alone.


Reporting Requirements

Best practices related to energy efficiency and conservation will be disclosed biennially within Shawnee State University's Six Year Capital Plan for the capital biennium commencing July 1, 2010, as submitted to the Ohio Board of Regents for the purposes of State Capital Appropriations requests.

Each capital project undertaken and developed within the context of the guidelines of House Bill 251 shall be evaluated by Shawnee State University through a project impact assessment report, disclosing the fiscal effects of the energy efficiency and conservation measures pursued within the project, including, but not limited to, life cycle cost analysis.

Shawnee State University will report its energy consumption to the Ohio Board of Regents as follows:

- a) The standard unit of measurement shall be as defined as mmBTU consumption per gross square foot. Where possible, this measure will also factor in heating and cooling degree days. Both conditioned and non-conditioned spaces will be included in gross square footage totals.
- b) In order to maximize the utilization of existing state-wide institutional reporting mediums, energy consumption data shall be reported:
 - i) From a historical view: on a fiscal year basis, using the Portfolio Manager software package prescribed by the Ohio Board of Regents, including actual energy consumption in units and dollars and carbon footprint information.
 - 1. In order to provide the comparable annual performance data, it is expected that the actual energy consumption data for fiscal years 2004 through 2008 shall be provided with the fiscal year 2008 HEI submission in February, 2009.
 - ii) From a prospective view: bi-annually, commencing July 1, 2010, Shawnee State University will provide a prospective view of our accomplishments, future plans, and challenges. The view will be submitted in a narrative format as part of

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Shawnee State University's Six-Year Capital Plan. The University will also utilize this Plan in all future Master Planning efforts.

Once the data have been compiled by the Ohio Board of Regents (OBR) and reviewed in consultation with the committee, OBR will incorporate the results into the system-wide annual performance report.

Review Process

Shawnee State University will review the Fifteen Year Plan on a biennial basis to update targets and strategies as needed.

Certified as True and Correct	
	4/25/8
Secretary, SSU Board of Trustees	Date

RESOLUTION F28-08
SHAWNEE STATE UNIVERSITY 403(b) PLAN

WHEREAS, Shawnee State University has been determined to be a public educational institution under Section 170(b)(1)(A)(ii) of the Internal Revenue Code; and

WHEREAS, the Internal Revenue Service has issued final regulations under Section 403(b) of the Code that would, in relevant part, require the University to adopt a written plan to ensure compliance with Section 403(b) of the Code and the regulations thereunder; and


WHEREAS, the University desires to adopt a written plan document that is consistent with the requirements of the final regulations under Section 403(b) of the Code and the University's administration of the Plan,

THEREFORE BE IT RESOLVED, effective January 1, 2009, the Shawnee State University Board of Trustees (the "Board") adopts the 403(b) Plan Document, comprised of the 403(b) Basic Plan Document for Public Education Organizations as modified by the Adoption Agreement (the "Plan Document"), in substantially the form as attached hereto;

BE IT FURTHER RESOLVED, that the Board authorizes the President on behalf of the University to execute the Plan Document in substantially the form presented to the Board or as subsequently modified with the advice of counsel to the University or as required by law or regulation;

BE IT FINALLY RESOLVED, that the Board authorizes the President to direct the selection of a third party administrator to act as the plan administrator under the Plan (the "Plan Administrator") and to exercise all authority and power under the terms of the Plan as well as any common remitter agreement necessary for implementation of the Plan Document.

(November 14, 2008)

Certified as True and Correct	
	
Secretary, SSU Board of Trustees	Date

ADOPTION AGREEMENT FOR THE 403(b) PLAN DOCUMENT FOR PUBLIC EDUCATION ORGANIZATIONS

Employer hereby establishes a 403(b) plan by adopting the following 403(b) plan document (the "Plan"). The Plan shall be comprised of the 403(b) Basic Plan Document for Public Education Organizations, as modified by this Adoption Agreement, including Appendix A attached to this Adoption Agreement.

1. EMPLOYER INFORMATION (SECTION 1.12 OF THE BASIC PLAN DOCUMENT):

A. Name of Employer: Shawnee State University

B. Federal Tax ID: 31-0864917

C. Employer's Address:

Shawnee State University
940 Second Street
Portsmouth OH 45662

D. Telephone Number: (740) 351-3163 Fax: (740) 351-3505

E. Type of Public Education Organization:

- ☐ K-12 Public School
- ☐ Community College
- ☒ Public College/University

Note: If the Employer is not a public education organization under Section 170(b)(1)(A)(ii) of the Code, this document may not be used.

2. PLAN INFORMATION (SECTIONS 1.20 AND 1.21 OF THE BASIC PLAN DOCUMENT):

A. Name of Plan: Shawnee State University 403(b) Tax Sheltered Annuity Program (the "Plan")

B. Effective Date: This Adoption Agreement:

- ☒ Establishes the Plan effective as of January 1, 2009 (the "Effective Date") and is the first 403(b) plan document established by the Employer.

5. EMPLOYEE CONTRIBUTIONS:

A. Elective Deferrals. (Section 2.2(a) of the Basic Plan Document)

The amount of Compensation that a Participant elects to have reduced by the Employer shall be expressed as:

- ☒ A specified dollar amount.
- ☐ A percentage of Compensation.

B. Automatic Enrollment. (Section 2.2(b) of the Basic Plan Document)

The Plan *will* ☐ or *will not* ☒ permit Employees to be automatically enrolled in the Plan. If permitted, each eligible Employee is required to defer:

- ☐ _____ % of Compensation.
- ☐ \$ _____.

C. Roth 403(b) Contributions. (Section 2.2(c) of the Basic Plan Document)

In addition to Elective Deferral Contributions, the Plan shall authorize the following Contributions:

- ☐ Roth 403(b) Contributions to the Plan are permitted beginning on _____.
- ☒ Roth 403(b) Contributions are NOT permitted under the Plan.

D. Changes in Elective Deferrals Election. (Section 2.4 of the Basic Plan Document)

Subject to the provisions of the applicable Individual Agreement(s), after his or her initial entry into the Plan, a Participant may change the amount to be contributed to his or her Elective Deferral Account as provided under Section 2.2 of the Plan as follows:

- ☒ Once per calendar month.
- ☐ Once per calendar quarter.
- ☐ Other (but no less often than once per calendar year): _____.

7. **COMPENSATION FOR PURPOSES OF ELECTIVE DEFERRALS (SECTION 1.7 OF THE BASIC PLAN DOCUMENT):**

- ☒ Compensation reported on Form W-2.
- ☐ Wages for withholding purposes under Code Section 3401.
- ☐ Safe harbor compensation under Code Section 415.
- ☐ Compensation shall include ☐ or shall not include ☐ pre-tax compensation reductions (i.e., compensation which is not currently includible in the Participant's gross income by reason of a compensation reduction election under Code Sections 125, 132(f)(4), 401(k), 403(b), or 457(b)).

8. **COMPENSATION FOR PURPOSES OF EMPLOYER CONTRIBUTIONS (SECTION 1.16 OF THE BASIC PLAN DOCUMENT):**

- ☐ Same as 6 above.
- ☒ Not Applicable.
- ☐ Other: _____

9. **EXCHANGES WITHIN THE PLAN (SECTION 6.5 OF THE BASIC PLAN DOCUMENT):** The Plan will ☒ or will not ☐ permit Participants to make Exchanges. If permitted, Exchanges may occur between:

- ☐ Any Vendor.
- ☒ Any Vendor and any other organization offering Annuity Contracts and or Custodial Accounts that satisfy the requirements of Section 403(b) of the Code who execute an Information Sharing Agreement with Employer or its appointee for purposes of satisfying applicable compliance requirements.

10. **TRANSFERS INTO THE PLAN (SECTION 6.2 OF THE BASIC PLAN DOCUMENT):** The Plan will ☒ or will not ☐ accept Transfers from another Employer's 403(b) Plan.

11. **TRANSFERS FROM THE PLAN (SECTION 6.3 OF THE BASIC PLAN DOCUMENT):** The Plan will ☒ or will not ☐ permit Transfers from the Plan to another Employer's 403(b) Plan, if requested by a former Participant.

16. SIGNATURES: Employer acknowledges that it is an eligible public education organization under Section 170(b)(1)(A)(ii) of the Code and is authorized to offer a program qualified under Section 403(b) of the Internal Revenue Code.

EMPLOYER

By: _____

Print Name: Elinda C. Boyles

Title: Vice President for Finance and Administration

Date: 10/28/08

APPENDIX A

AUTHORIZED 403(b) VENDOR LIST FOR THE SHAWNEE STATE UNIVERSITY 403(b) PLAN

This list identifies the Vendors available under the designated 403(b) Plan maintained by the Employer, on or after the effective date of this Appendix A ("Effective Date"). Vendors on this Appendix A shall be subject to requirements and restrictions under the written Plan, if any, provided however that such requirements and restrictions are not intended to enlarge the rights and benefits otherwise set forth in the Individual Arrangements.

Employer: Shawnee State University

Plan Name: Shawnee State University 403(b) Tax Sheltered Annuity Program

Effective Date: January 1, 2009

A. Vendors authorized to receive contributions and transfers under the Plan:

Name of Vendor

AIG VALIC

Ameriprise

AXA Equitable

MetLife

ING

TIAA-CREF

B. Vendors included in the Plan (as specified in applicable regulations) but which are not authorized to receive new contributions under the Plan:

Name of Vendor

**SHAWNEE STATE UNIVERSITY
403(b)
TAX SHELTERED ANNUITY PROGRAM
BASIC PLAN DOCUMENT**

Shawnee State University 403(b) Plan
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Secretary, SSU Board of Trustees Date

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CODE SECTION 403(b) TAX SHELTERED ANNUITY PROGRAM BASIC PLAN DOCUMENT

The Employer may adopt this Plan by executing the Adoption Agreement, which is a part of this 403(b) Plan document. This Basic Plan document, the Adoption Agreement, any underlying Annuity Contracts and Custodial Account agreements between a Vendor and an Employee, and agreements between the Employer and one or more Vendors or Providers shall be construed together to constitute the Plan.

Section 1 - Definitions

The following words and terms, when used in the Plan, have the meaning set forth below.

1.1 **"Account"**: The account or accumulation maintained for the benefit of any Participant or Beneficiary under an Annuity Contract or a Custodial Account with respect to his or her total interest in the Plan attributable to Elective Deferrals, Employer Contributions, eligible Rollover Contributions, Roth 403(b) Contributions, and Plan-to-Plan Transfer Contributions.

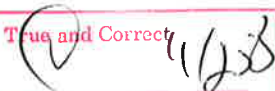
The Employer or the Provider may establish additional sub-accounts within the various Accounts or combine similar Accounts or sub-accounts.

1.2 **"Account Balance"**: The value of the aggregate amount credited to each Participant's Account under all Accounts, including the Participant's Elective Deferrals, any Employer Contributions, and Roth 403(b) Contributions, the earnings or loss of each Annuity Contract or a Custodial Account (net of expenses) allocable to the Participant, any transfers for the Participant's benefit, and any distribution made to the Participant or the Participant's Beneficiary. If a Participant has more than one Beneficiary at the time of the Participant's death, then a separate Account Balance shall be maintained for each Beneficiary. The Account Balance includes any account established under Section 6 for rollover contributions and plan-to-plan transfers made for a Participant, if such contributions are authorized under the Adoption Agreement, the account established for a Beneficiary after a Participant's death, and any account or accounts established for an alternate payee (as defined in Section 414(p)(8) of the Code).

1.3 **"Administrator"**: The person(s) or organization, such as the Vendor, third party administrator or other designee, approved by the Employer to administer the Plan and perform administrative functions for the Plan as identified in the Adoption Agreement.

1.4 **"Annuity Contract"**: A nontransferable contract as defined in Section 403(b)(1) of the Code, established for each Participant by the Employer, or by each Participant individually, that is issued by an insurance company qualified to issue annuities in the state in which the Employer or Participant, as applicable, resides and that includes payment in the form of an annuity.

1.5 **"Beneficiary"**: The designated person who is entitled to receive benefits under the Plan after the death of a Participant, subject to such additional rules as may be set forth in the Individual Agreements.

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1.15 **“Funding Vehicles”**: The Annuity Contracts or Custodial Accounts issued for funding amounts held under the Plan and specifically approved by Employer for use under the Plan.

1.16 **“Includible Compensation”**: An Employee’s actual wages in box 1 of Form W-2 for the most recent one-year period of service for the Employer, but increased (up to the dollar maximum) by any compensation reduction election under Section 125, 132(f), 401(k), 403(b), or 457(b) of the Code (including any Elective Deferral under the Plan). The amount of Includible Compensation is determined without regard to any community property laws. Notwithstanding the foregoing, if the Adoption Agreement provides for Employer Contributions, then for purposes of determining Employer Contributions, Includible Compensation will be subject to a maximum of \$230,000 (or such higher maximum as may apply under Section 401(a)(17) of the Code).

1.17 **“Individual Agreement”**: The agreements between a Vendor and the Employer or a Participant that constitutes or governs a Custodial Account or an Annuity Contract with respect to that Participant’s Account.

1.18 **“Information Sharing Agreement”**: The agreement between a Vendor and the Employer to share information necessary for compliance with Treasury Regulation Section 1.403(b)-10(b) relating to tax-free exchanges made after September 24, 2007 (or such later compliance date provided in guidance by the Internal Revenue Service) by Employees of the Employer.

1.19 **“Participant”**: An individual for whom Elective Deferrals or other contributions permitted herein are currently being made, or for whom such contributions have previously been made, under the Plan and who has not received a distribution of his or her entire Account Balance under the Plan.


1.20 **“Plan”**: The name given to this Plan by the Employer in the Adoption Agreement.

1.21 **“Plan Year”**: The calendar year.

1.22 **“Provider”**: A provider of Annuity Contracts or Custodial Accounts that has entered into an Information Sharing Agreement with the Employer.

1.23 **“Related Employer”**: The Employer and any other entity which is under common control with the Employer under Section 414(b) or (c) of the Code. For this purpose, the Employer shall determine which entities are Related Employers based on a reasonable, good faith standard and taking into account the special rules applicable under Notice 89-23, 1989-1 C.B. 654.

1.24 **“Roth 403(b) Contribution”**: If authorized in the Adoption Agreement, any contribution made by a Participant which is (1) designated as a Roth 403(b) Contribution in accordance with Section 10 of the Plan and (2) treated by the Employer as includible in the

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upon becoming employed by the Employer. As selected in the Adoption Agreement, the following Employees may be excluded on a uniform basis:

- (a) Employees who are eligible to participate in one or more plans described under Section 403(b)(12)(A) of the Code during the calendar year sponsored by the Employer (i.e. another Section 403(b) Plan, a Section 457(b) Plan, or a Section 401(k) Plan);
- (b) Employees who are non-resident aliens described in Section 401(b)(3)(C) of the Code;
- (c) "Student Employees," as classified by the Employer (if such Employer is an educational institution) during the calendar year; and
- (d) Employees who normally work fewer than 20 hours per week (or such lower number of hours per week as may be set forth in the Adoption Agreement). An Employee normally works fewer than 20 hours per week if for the 12-month period beginning on the date the Employee's employment commenced, the Employer reasonably expects the Employee to work fewer than 1,000 hours of service and the Employee actually worked fewer than 1,000 hours of service for the Employer in the preceding 12-month period.

2.2 Contributions.

- (a) Elective Deferrals. An Employee elects to become a Participant by executing an election to reduce his or her Compensation (and have that amount contributed as an Elective Deferral on his or her behalf) and filing it with the appropriate Administrator. This Compensation reduction election shall be made on the agreement provided by the Administrator under which the Employee agrees to be bound by all the terms and conditions of the Plan. As provided in the Adoption Agreement, the amount of Compensation reduced is to be expressed as either a specified dollar amount or a percentage of Compensation. The Administrator may establish an annual minimum deferral amount no higher than \$200, and may change such minimum to a lower amount from time to time. The participation election shall also include designation of the Funding Vehicles and Accounts therein to which Elective Deferrals are to be made. Any such election shall remain in effect until a new election is filed. Only an individual who performs services for the Employer as an Employee may reduce his or her Compensation under the Plan. Each Employee will become a Participant in accordance with the terms and conditions of the Individual Agreements. Except as otherwise provided in the Plan, all Elective Deferrals shall be made on a pre-tax basis. An Employee shall become a Participant as soon as administratively practicable following the date applicable under the Employee's election.

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- (d) **Employer Contributions.** If authorized in the Adoption Agreement, the Employer may make Employer Contributions to Accounts of designated Employees in accordance with Section 11 of the Plan. Contributions made under this Section 2.2(c) shall be deposited into each Participant's Account in accordance with Section 2.5 of the Plan. The Participant shall designate the Funding Vehicles and the Accounts therein to which Employer Contributions are to be made. Such designation shall be made on a form provided by the Administrator.

2.3 **Information Provided by the Employee.** Each Employee enrolling in the Plan should provide to the Administrator at the time of initial enrollment, and later if there are any changes, any information necessary or advisable for the Administrator to administer the Plan, including any information required under the Individual Agreements.

2.4 **Change in Elective Deferrals Election.** Unless otherwise provided in the Adoption Agreement, and subject to the provisions of the applicable Individual Agreements, an Employee may at any time revise his or her participation election, including a change of the amount of his or her Elective Deferrals (and/or Roth 403(b) Contributions), his or her investment direction, and/or his or her designated Beneficiary. A change in the amount of Elective Deferrals (and/or Roth 403(b) Contributions) investment direction shall take effect as of the date provided by the Administrator on a uniform basis for all Employees. A change in the Beneficiary designation shall take effect when the election is accepted by the Vendor.

2.5 **Contributions Made Promptly.** All contributions under the Plan shall be transferred to the applicable Funding Vehicle within 15 business days following the end of the month in which the amount would otherwise have been paid to the Participant.

2.6 **Leave of Absence.** Unless an election is otherwise revised, if an Employee is absent from work by leave of absence, Elective Deferrals (and/or Roth 403(b) Contributions) under the Plan shall continue to the extent that Compensation continues.

Section 3 - Limitations on Amounts Deferred

3.1 **Basic Annual Limitation.** Except as provided in Sections 3.2 and 3.3, the maximum amount of the Elective Deferrals (and/or Roth 403(b) Contributions) to the extent permitted under Section 10) under the Plan for any calendar year shall not exceed the lesser of (a) the applicable dollar amount or (b) the Participant's Includible Compensation for the calendar year. The applicable dollar amount is the amount established under Section 402(g)(1)(B) of the Code, which is \$15,500 for 2008, and is adjusted for cost-of-living after 2008 to the extent provided under Section 415(d) of the Code.

3.2 **Special Section 403(b) Catch-up Limitation for Employees With 15 Years of Service.** If authorized in the Adoption Agreement, the applicable dollar amount under Section 3.1(a) for any "qualified employee" is increased (to the extent provided in the Individual Agreements) by the least of:

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3.6 **Correction of Excess Elective Deferrals.** If the Elective Deferrals (or Roth 403(b) Contributions) on behalf of a Participant for any calendar year exceed the limitations described above, or the Elective Deferrals (and/or Roth 403(b) Contributions) on behalf of a Participant for any calendar year exceed the limitations described above when combined with other amounts deferred by the Participant under another plan of the Employer under Section 403(b) of the Code (and any other plan that permits elective deferrals under Section 402(g) of the Code for which the Participant provides information that is accepted by the Administrator), then the Elective Deferral (and to the extent applicable, Roth 403(b) Contributions), to the extent in excess of the applicable limitation (adjusted for any income or loss in value, if any, allocable thereto), shall be distributed to the Participant. Excess Deferrals (and, if applicable, Roth 403(b) Contributions) will be distributed to the Participant, with allocable net income, no later than April 15 of the following taxable year or otherwise in accordance with Section 402(g) of the Code.

3.7 **Protection of Persons Who Serve in a Uniformed Service.** An Employee whose employment is interrupted by qualified military service under Section 414(u) of the Code or who is on a leave of absence for qualified military service under Section 414(u) of the Code may elect to make additional Elective Deferrals upon resumption of employment with the Employer equal to the maximum Elective Deferrals that the Employee could have elected during that period if the Employee's employment with the Employer had continued (at the same level of Compensation) without the interruption or leave, reduced by the Elective Deferrals, if any, actually made for the Employee during the period of the interruption or leave. Except to the extent provided under Section 414(u) of the Code, this right applies for five years following the resumption of employment (or, if sooner, for a period equal to three times the period of the interruption or leave).

Section 4 - Loans

4.1 **Loans.** If authorized in the Adoption Agreement, loans shall be permitted under the Plan to the extent permitted by the Individual Agreements controlling the Account assets from which the loan is made and by which the loan will be secured.

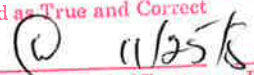
4.2 **Information Coordination Concerning Loans.** Each Vendor is responsible for all information reporting and tax withholding required by applicable federal and state law in connection with distributions and loans. To minimize the instances in which Participants have taxable income as a result of loans from the Plan, the Administrator(s) shall take such steps as may be appropriate to coordinate the limitations on loans set forth in Section 4.3, including the collection of information from Vendors, and transmission of information requested by any Vendor, concerning the outstanding balance of any loans made to a Participant under the Plan or any other plan of the Employer. The Administrator(s) shall also take such steps as may be appropriate to collect information from Vendors, and transmission of information to any Vendor, concerning any failure by a Participant to repay timely any loans made to a Participant under the Plan or any other plan of the Employer.

account. Also, if authorized in the Adoption Agreement and to the extent permitted by the applicable Individual Agreement, the Participant may elect to receive a distribution from accounts other than Rollover Accounts, regardless of employment status, upon attainment of age 59 ½. Further, if authorized in the Adoption Agreement, Participants may receive distributions from contracts other than Custodial Accounts or amounts attributable to elective deferrals at such times as are permitted in the Adoption Agreement.

5.4 Hardship Withdrawals. Hardship withdrawals shall be permitted under the Plan if selected in the Adoption Agreement and to the extent permitted by the Individual Agreements controlling the Account assets to be withdrawn to satisfy the hardship and this Section 5.4 of the Plan. If permitted by the Funding Vehicle(s) in which the Participant's Account is invested, a Participant may make withdrawals from his or her Elective Deferral Accounts (excluding income allocated thereon after December 31, 1988) and from assets held in the Account as of December 31, 1988, for the purpose of enabling him or her to meet financial hardships. For purposes of this Section 5.4, a distribution is on account of a financial hardship only if the distribution is made both on account of an immediate and heavy financial need of the Participant and is necessary to satisfy (and does not exceed) such financial need as described in Subsections (a) and (b) set forth below.

Amounts shall be distributed under this Section 5.4 only after the Administrator has determined that the applicable nondiscriminatory and objective criteria have been satisfied. A Participant requesting a hardship withdrawal shall submit such request to the Administrator in writing at the time and in the manner specified by the Administrator.

- (a) **Immediate and Heavy Financial Need.** The determination of whether a Participant has an immediate and heavy financial need is to be made by the Administrator on the basis of all relevant facts and circumstances. Unless the Administrator adopts and obtains the Employer's written approval regarding additional nondiscriminatory and objective criteria for making this determination (which shall be contained in the Funding Vehicle), a distribution will be deemed to be made on account of an immediate and heavy financial need of a Participant only if the distribution is on account of:
 - (1) expenses for unreimbursed medical care described in Code Section 213(d) previously incurred by the Participant, the Participant's spouse, or any dependents of the Participant (as defined in Code Section 152 (determined without regard to subsections (b)(1), (b)(2) and (d)(1)(B) thereof)), or expenses necessary to obtain such medical care;
 - (2) costs (excluding mortgage payments) directly related to the purchase of a principal residence for the Participant;
 - (3) payment of tuition, related educational fees, and room and board expenses, for up to the next twelve months of post-secondary education for the Participant, the Participant's spouse or children, or any dependents of the

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Additionally, the Vendor with prior approval by the Employer, may adopt rules for determining whether a hardship distribution is necessary to satisfy a Participant's financial need under the "facts and circumstances" tests described in Treasury Regulation Section 1.401(k)-1(d)(3)(iii) in lieu of the rules described tests, above.

An Individual Agreement may make distributions to Participants for expenses described in Treasury Regulation Section 1.401(k)-1(d)(3)(iii)(B)(1), (3), or (5) for a primary Beneficiary. For this purpose, a "primary Beneficiary" is an individual who is named as a Beneficiary and has an unconditional right to all or a portion of the Account balance upon the death of the Participant.

5.5 Rollover Distributions.

- (a) A Participant or the Beneficiary of a deceased Participant (or a Participant's spouse or former spouse who is an alternate payee under a domestic relations order, as defined in Section 414(p) of the Code) who is entitled to an eligible rollover distribution may elect to have any portion of an eligible rollover distribution (as defined in Section 402(c)(4) of the Code) from the Plan paid directly to an eligible retirement plan (as defined in Section 402(c)(8)(B) of the Code) specified by the Participant in a direct rollover. In the case of a distribution to a Beneficiary who at the time of the Participant's death was neither the spouse of the Participant nor the spouse or former spouse of the Participant who is an alternate payee under a domestic relations order, a direct rollover is payable only to an individual retirement account or individual retirement annuity (IRA) that has been established on behalf of the Beneficiary as an inherited IRA (within the meaning of Section 408(d)(3)(C) of the Code).
- (b) Each Vendor shall be separately responsible for providing, within a reasonable time period before making an initial eligible rollover distribution, an explanation to the Participant of his or her right to elect a direct rollover and the income tax withholding consequences of not electing a direct rollover.
- (c) A Participant or a spouse who is the designated Beneficiary of the Participant may elect to roll over amounts in accordance with Section 408A(e) of the Code directly to a Roth IRA.

Section 6 - Rollovers to the Plan; Transfers; Exchanges

6.1 Eligible Rollover Contributions to the Plan.

- (a) **Eligible Rollover Contributions.** To the extent provided in the Individual Agreements, an Employee who is a Participant who is entitled to receive an eligible rollover distribution from another eligible retirement plan may request to have all or a portion of the eligible rollover distribution paid to the Plan. Such

before the transfer.

- (c) To the extent provided in the Individual Agreements holding such transferred amounts, the amount transferred shall be held, accounted for, administered and otherwise treated in the same manner as an Elective Deferral or, if applicable, Roth 403(b) Contribution by the Participant or Employer Contribution under the Plan, except that (1) the Individual Agreement which holds any amount transferred to the Plan must provide that, to the extent any amount transferred is subject to any distribution restrictions required under Section 403(b) of the Code, the Individual Agreement must impose restrictions on distributions to the Participant or Beneficiary whose assets are being transferred that are not less stringent than those imposed on the transferor plan and (2) the transferred amount shall not be considered an Elective Deferral under the Plan in determining the maximum deferral under Section 3.

6.3 Plan-to-Plan Transfers from the Plan.

- (a) If authorized under the Adoption Agreement, Participants and Beneficiaries may elect to have all or any portion of their Account Balance transferred to another plan that satisfies Section 403(b) of the Code in accordance with Treas. Reg. § 1.403(b)-10(b)(3). A transfer is permitted under this Section 6.3(a) only if the Participants or Beneficiaries are Employees or former Employees of the Employer (or the business of the Employer) under the receiving plan and the other plan provides for the acceptance of plan-to-plan transfers with respect to the Participants and Beneficiaries and for each Participant and Beneficiary to have an amount deferred under the other plan immediately after the transfer at least equal to the amount transferred.
- (b) The other plan must provide that, to the extent any amount transferred is subject to any distribution restrictions required under Section 403(b) of the Code, the other plan shall impose restrictions on distributions to the Participant or Beneficiary whose assets are transferred that are not less stringent than those imposed under the Plan. In addition, if the transfer does not constitute a complete transfer of the Participant's or Beneficiary's interest in the Plan, the other plan shall treat the amount transferred as a continuation of a pro rata portion of the Participant's or Beneficiary's interest in the transferor plan (e.g., a pro rata portion of the Participant's or Beneficiary's interest in any after-tax employee contributions).
- (c) Upon the transfer of assets under this Section 6.3, the Plan's liability to pay benefits to the Participant or Beneficiary under this Plan shall be discharged to the extent of the amount so transferred for the Participant or Beneficiary. The Administrator may require such documentation from the receiving plan as it deems appropriate or necessary to comply with this Section 6.3 (for example, to confirm that the receiving plan satisfies Section 403(b) of the Code and to assure

- (d) The Employer enters into an agreement with the receiving Vendor for the other contract or custodial account under which the Employer and the Vendor will from time to time in the future provide each other with the following information:
- (1) Information necessary for the resulting contract or custodial account, or any other contract or custodial accounts to which contributions have been made by the Employer, to satisfy Section 403(b) of the Code, including the following:
 - (i) the Employer providing information as to whether the Participant's employment with the Employer is continuing, and notifying the Vendor when the Participant has had a Severance from Employment (for purposes of the distribution restrictions in Section 5.1);
 - (ii) the Vendor notifying the Employer of any hardship withdrawal under Section 5.3 if the withdrawal results in a 6-month suspension of the Participant's right to make Elective Deferrals (and, if applicable, Roth 403(b) Contributions) under the Plan; and
 - (iii) the Vendor providing information to the Employer or other Vendors concerning the Participant's or Beneficiary's Section 403(b) contracts or custodial accounts or qualified employer plan benefits (to enable a Vendor to determine the amount of any Plan loans and any rollover accounts that are available to the Participant under the Plan in order to satisfy the financial need under the hardship withdrawal rules of Section 5.4); and
 - (2) Information necessary in order for the resulting contract or custodial account and any other contract or custodial account to which contributions have been made for the Participant by the Employer to satisfy other tax requirements, including the following:
 - (i) the amount of any Plan loan that is outstanding to the Participant in order for a Vendor to determine whether an additional Plan loan satisfies the loan limitations of Section 4.3, so that any such additional loan is not a deemed distribution under Code Section 72(p)(1); and
 - (ii) information concerning the Participant's or Beneficiary's Roth Contributions and after-tax employee contributions in order for a Vendor to determine the extent to which a distribution is includible in gross income.
- (e) If any Vendor ceases to be eligible to receive Elective Deferrals (or Roth 403(b) Contributions or Employer Contributions, if applicable) under the Plan, the

8.3 **Distribution upon Termination of the Plan.** The Employer may provide that, in connection with a termination of the Plan and subject to any restrictions contained in the Individual Agreements, all Accounts will be distributed as soon as administratively practicable under the Plan, provided that the Employer and any Related Employer on the date of termination do not make contributions to an alternative Section 403(b) contract that is not part of the Plan during the period beginning on the date of plan termination and ending 12 months after the distribution of all assets from the Plan, except as permitted by the Income Tax Regulations.

Section 9 - Miscellaneous

9.1 **Non-Assignability.** Except as provided in Section 9.2 and 9.3, the interests of each Participant or Beneficiary under the Plan are not subject to the claims of the Participant's or Beneficiary's creditors; and neither the Participant nor any Beneficiary shall have any right to sell, assign, transfer, or otherwise convey the right to receive any payments hereunder or any interest under the Plan, which payments and interest are expressly declared to be non-assignable and non-transferable.

9.2 **Domestic Relation Orders.** Notwithstanding Section 9.1, if a judgment, decree or order (including approval of a property settlement agreement) that relates to the provision of child support, alimony payments, or the marital property rights of a spouse or former spouse, child, or other dependent of a Participant is made pursuant to the domestic relations law of any state ("domestic relations order"), then the amount of the Participant's Account Balance shall be paid in the manner and to the person or persons so directed in the domestic relations order. Such payment shall be made without regard to whether the Participant is eligible for a distribution of benefits under the Plan. The Administrator shall establish reasonable procedures for determining the status of any such decree or order and for effectuating distribution pursuant to the domestic relations order.

9.3 **IRS Levy.** Notwithstanding Section 9.1, the Administrator may direct payment from a Participant's or Beneficiary's Account the amount that the Administrator finds is lawfully demanded under a levy issued by the Internal Revenue Service with respect to that Participant or Beneficiary or is sought to be collected by the United States Government under a judgment resulting from an unpaid tax assessment against the Participant or Beneficiary.

9.4 **Tax Withholding.** Contributions to the Plan are subject to applicable employment taxes (including, if applicable, Federal Insurance Contributions Act (FICA) taxes with respect to Elective Deferrals (and, if applicable, Roth 403(b) Contributions), which constitute wages under Section 3121 of the Code). Any benefit payment made under the Plan is subject to applicable income tax withholding requirements (including Section 3401 of the Code and the Employment Tax Regulations thereunder). A payee shall provide such information as the Administrator or Vendor may need to satisfy income tax withholding obligations, and any other information that may be required by guidance issued under the Code.

9.5 **Payments to Minors and Incompetents.** If a Participant or Beneficiary entitled to

10.2 **Roth 403(b) Contributions.** For each Plan Year, each Participant may elect to make Roth 403(b) Contributions to the Plan up to the applicable limit under Code Section 402(g) and as aggregated with Elective Deferrals as described in Section 3.1, 3.2, and 3.3, and subject to any limitations imposed under applicable law or under any applicable collective bargaining agreement. Such contributions will be allocated to the Participant's Roth 403(b) Contributions Account.

10.3 **Separate Accounting Requirements.** Contributions and withdrawals of Roth 403(b) Contributions, and earnings or losses thereon, shall be credited and debited to each Participant's Account and shall be separately accounted for under each Employee's Account. Gains, losses, and other credits or charges shall be separately allocated on a reasonable and consistent basis for each Employee's Roth 403(b) Contributions. Except as provided in Section 10.6, no contributions other than Roth 403(b) Contributions and properly attributable earnings may be credited to each Employee's Roth subaccount.

10.4 **Deposit Requirements.** Roth 403(b) Contributions shall be deposited with the applicable Funding Vehicles as soon as practicable in accordance with Section 2.5 of the Plan, unless an earlier date is required under state law.

10.5 **Distribution of Roth 403(b) Contributions.**

- (a) Qualified Distributions: Distributions from a Roth 403(b) Contributions Account will be tax-free for federal income tax purposes if:
 - i) The amounts are held for a 5-year holding period, measured from the first year that the initial Roth 403(b) Contribution was made on behalf of the Participant to a Roth 403(b) Contributions Account, and
 - ii) The distribution is due to a Participant's attainment of age 59 ½, death, or in the event of the Participant's becoming Disabled.
- (b) Non-qualified Distributions: Amounts distributed from a Roth 403(b) Contributions Account that are not considered "Qualified Distributions" as defined in Section 10.3(a), may be distributed from a Roth 403(b) Contributions Account subject to the distribution rules applicable to Elective Deferrals as described in Section 5.1. Such nonqualified distributions shall be subject to federal income tax to the extent that the amount distributed exceeds the value of the Roth 403(b) Contributions.
- (c) In no event shall amounts held in a Roth 403(b) Contributions Account be used for a loan in accordance with Section 4, distributed due to a hardship withdrawal under Section 5.4, transferred in accordance with Sections 6.3 or 6.5, or exchanged in accordance with Section 6.4.

10.6 **Direct Roth Rollovers From the Plan.** Notwithstanding Section 5.5 of the Plan, Participants may only make a direct rollover of a distribution of Roth 403(b) Contributions (and

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Certified as True and Correct	
	"6/28"
Secretary, SSU Board of Trustees	Date

- ii) 100 percent of the Participant's Includible Compensation for the Plan Year.
- (b) For purposes of this Section, "Annual Additions" means, for any Plan Year, the sum of Elective Deferrals, Roth 403(b) Contributions, and Employer Contributions to the Plan made to the Participant's Account and the sum of any Employee and Employer contributions made on behalf of such individual under any other 403(b) plan, whether or not sponsored by the Employer.
- (c) If a Participant has a "controlling interest" in another Employer and participates in that Employer's qualified 401(a) defined contribution plan, a welfare benefit fund (as defined in Section 419(e) of the Code), an individual medical account (as defined in Section 415(l)(2) of the Code) or a Simplified Employee Pension (as defined in Section 408(k) of the Code) which provides Annual Additions, the amount of Annual Additions which may be credited to a Participant's Account for any Plan Year will not exceed the maximum permissible amount described in subsection (a), taking into account Employer contributions that have been allocated to such other plans as described in this subsection.
- (d) If the Annual Additions are greater than the maximum permissible amount described in subsection (a) in a Plan Year, no amount will be contributed to the Participant's Account under the Plan for that Plan Year. If there is any such excess amount under the Plan, the Employer or its delegate will direct the Vendor as to the appropriate method of correction of such excess amounts in accordance with the Income Tax Regulations. If timely correction of such excess is not made, such excess will remain in the Plan and will be separately accounted for in accordance with Section 403(c) of the Code.

11.3 **Vesting.** A Participant will be 100% Vested in any Employer Contributions.

Section 12 – Employer Adoption

Name of Plan: _____

Name of Employer: _____

Signature By: _____

Print Name: _____

Title: _____

Date: _____



RESOLUTION F29-08

REORGANIZATION OF SHAWNEE STATE UNIVERSITY'S SECURITY DEPARTMENT

WHEREAS, the University is committed to maintaining an environment that provides for the public safety of all members of the university community, and visitors; and

WHEREAS, as a result of an assessment conducted by an external reviewer, the University has identified a need to upgrade security operations and staffing in order to continue to be responsive to the needs of a growing institution and maintain organizational continuity; and

WHEREAS, the President directed the modification of security operations to accommodate the identified needs; and

WHEREAS, the Vice President of Finance and Administration has proposed an organizational structure that incorporates a full-time Chief of Security, three (3) full-time Sergeants, and part-time Security Officers in order to provide adequate 24/7 coverage as identified on the attached summary, reporting to the Director, Human Resources and Security;

THEREFORE BE IT RESOLVED that the Board of Trustees approves the newly configured Shawnee State Security Department, including the creation of three full-time sergeant positions and the related levels of part-time staff, effective December 1, 2008.

(November 14, 2008)



Summary of
Proposed Plan for
Shawnee State University
Security Department

Background Points

- ❖ Completion of security assessment by external security consulting firm recommends SSU take steps to strengthen its security operation.
- ❖ Long-term external security contract terminated due to lapse in licensure.
- ❖ Feasibility study on developing an "in-house" Security Service was completed by the Director of Human Resources and Chief of Security.
- ❖ Formal request for bid completed of outside security service vendors illustrates operational benefits of "in-house" security services.
- ❖ Ability to adequately respond to new state and federal safety and security mandates requires reliable and fully trained workforce.

Costs

- ❖ Comparison of the top outside bidder to projected costs of "in-house services indicate that the proposed in-house configuration is within acceptable budgetary limits:
 - FY08/09 In-House security services = \$278,638
 - FY08/09 budget security services = \$305,800

Staffing complement

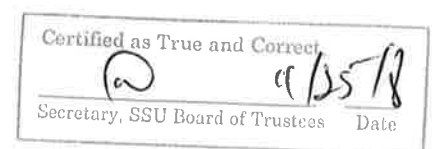
- ❖ Proposed organization
 - Chief of Security (existing)
 - Three full-time Sergeants (includes Captain position changed to sergeant)
 - Change status of officers to regular, part time status (32 hours per week)

Intangibles considered for In-House Service

- The security force will be readily adapted into SSU's culture and focused upon security issues involving higher education.
- A more secure employment opportunity provides for reduced turnover and improved staff competency through sustained and targeted skills and job knowledge training.
- An internally structured organization provides for a clear line of authority which is essential for a strong, well-managed security force.
- Establishes the foundation for the organization to strategically develop toward fully manned security/police force as the institutional needs warrant.

Effective Date

- December 1, 2008



RESOLUTION F30-08

SHAWNEE STATE UNIVERSITY DEVELOPMENT FOUNDATION MEMBER APPOINTMENTS

WHEREAS, as the sole member of the Shawnee State University Development Foundation, the Board of Trustees of Shawnee State University ratify Foundation policies and members; and

WHEREAS, the Shawnee State University Development Foundation approved the nomination of officers and returning and new board members and at their October 29, 2008 quarterly meeting;

THEREFORE, BE IT RESOLVED, that the Board of Trustees of Shawnee State University hereby approves the appointment of the following officers and members to the Development Foundation Board effective January 1, 2009.

Officers:

President – Barbara Lodwick
Vice President – Cynthia Jenkins
Secretary – Will Burke

2nd Three-year Term:

Barbara Lodwick
Bruce MacDonald
Barry Rodbell
Saundra Wheeler

To complete a second term previously filled by others:

Tim Glockner
Cynthia Jenkins

New Members, 1st Three-year Term:

Eric Bloomfield
Mark Morgan
Steve Mowery
Connie LeMaster

To represent the faculty:

Julia Coll

To represent Alumni:

Missy Ankrom

(November 14, 2008)



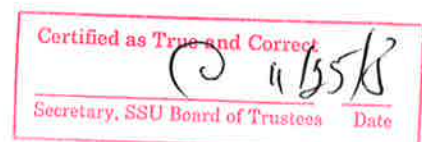
**RESOLUTION F31-08
GRANTS**

**STEM, WIRED OVITA REGIONAL CYBER CENTER AND
NURSING PROGRAM - DHHS**

WHEREAS, the grants summarized on the attached summary forms have been reviewed by the appropriate University committees and/or individuals, and are recommended for submission;

THEREFORE, BE IT RESOLVED, that the Board of Trustees of Shawnee State University approves the submission of the Southern Ohio Youth Regents STEM and Foreign Language Academy grant renewal; and grant proposals for the Wired OVITA Regional Cyber Center and Department of Health and Human Services (DHHS) Nursing Program.

(November 14, 2008)



GRANT PROPOSAL SUMMARY

TITLE: Southern Ohio Youth Regents STEM and Foreign Language Academy

GRANTING AGENCY: Ohio Board of Regents

PRINCIPAL INVESTIGATOR: Dave Todt, Provost / Judy Meeker, Project Director

PERCENTAGE OF P.I. TIME DEVOTED TO GRANT: Todt/Less than 5%, Meeker/55%

PURPOSE: The Southern Ohio Youth Regents STEM and Foreign Language Academy is designed to encourage high school-aged students to explore and consider the STEM (science, technology, engineering, math) and/or foreign language disciplines as possible majors, with an emphasis on teaching careers in those areas. The Academy provides a unique opportunity for collaboration and leadership between three partner universities (Shawnee State University, Ohio University-Southern, and the University of Rio Grande) and other organizations such as Upward Bound and the Ohio Appalachian Center for Higher Education.

CLIENTELE TO BE SERVED:

Ohio rising high school juniors and seniors who might be interested in STEM careers.

RELATIONSHIP TO SSU MISSION: This grant aims to increase college attendance in STEM disciplines from the Appalachian region. This is also an example of a cooperative partnership with Ohio University-Southern and the University of Rio Grande serving southern Ohio.

OTHER AGENCIES/ORGANIZATIONS PARTICIPATING IN THE PROJECT:

Ohio University-Southern and the University of Rio Grande

BRIEF DESCRIPTION OF HOW PROJECT WILL BE CONDUCTED:

The goal of the Southern Ohio Youth Regents STEM and Foreign Language Academy is to introduce fifty high school students (rising juniors and seniors) to the opportunities for careers, especially teaching, in the areas of science technology, engineering, mathematics, and foreign languages. Students will select one or two courses during the summer residential academy and one course during the following school year. All students will take an introduction to the teaching profession during the school year. The school year courses may be distance learning courses from any of the three partner universities. One week will be spent on each campus, the University of Rio Grande (June 8-12), Shawnee State University (June 15-19) and Ohio University Southern (June 22-26). As students move from campus to campus, the professors and course work will move too. Each course will have an online learning component between June 29 and July 31 with an additional classroom session on July 13. A final course meeting will be held on Friday, August 3. Two follow-up classes will be taken during the 2009/10 Academic Year (*Introduction to the Teaching Profession* and an elective course). The Academic Year component will end in April, 2010.

FUNDING PERIOD: F/Y 2009/10

BUDGET:

Grant	\$275,000.00
Direct Costs	
Indirect Costs	NA (Grant does not allow for I/D cost)
Other	\$5,000.00 (Scioto Foundation-pending)
University-In Kind	\$20,000.00 (contribution of indirect cost)
University Match	\$0 (Recommended, but not required)
TOTAL	\$300,000.00

Certified as True and Correct

Secretary, SSU Board of Trustees Date

GRANT PROPOSAL SUMMARY

TITLE: The Shawnee State University WIRED OVITA Regional Cyber Center

GRANT AGENCY: Department of Labor

PRINCIPAL INVESTIGATOR: Dovel Myers

PERCENTAGE OF P.I. TIME DEVOTED: 50%

PURPOSE: The goal of the Shawnee State University WIRED OVITA Regional Cyber Center is to provide technical guidance, operational support, professional development, and innovative ideas to WIRED OVITA Cyber Clubs in the region as well as the OVITA WIRED program in general. In addition, we will work with the Regional Collaboratory to help obtain additional financial support for this program. We will strive to be the innovative mind and infrastructural backbone behind the OVITA WIRED program.

CLIENTELE TO BE SERVED: The region to be served is identified as Ohio Economic Development Region 7 with the addition of Clermont County. As defined that includes Adams, Adams, Brown, Clermont, Gallia, Highland, Jackson, Lawrence, Pike, Ross, Scioto, Clermont, and Vinton Counties of Ohio.

RELATIONSHIP TO SSU MISSION: In concert with the WIRED grant main proposal goals and objectives, the Shawnee State Cyber Center plans to develop and offer a host of training workshops and courses aimed at creating community and industry awareness of 21st century job opportunities in the IT/IDT field and at forging lasting partnership with employers, K-12 and higher education to transform the IT/IDT system and to support the region's growth in IT/IDT.

OTHER AGENCIES/ORGANIZATIONS PARTICIPATING IN THE PROJECT:
OVITA, Department of Labor, Tech Prep (3 regions)

BRIEF DESCRIPTION OF HOW PROJECT WILL BE CONDUCTED: Cyber Clubs are our main way of reaching the target audience.

Funding Period: 11/01/08-12/23/10

Budget:

Grant:

Direct Costs	\$399,915.60
Indirect Costs	\$19,043.60
University Match	\$62,000.00 (est.)
Total:	\$399,915.60

Certified as True and Correct

Secretary, SSU Board of Trustees Date

GRANT PROPOSAL SUMMARY

TITLE: Establishing Traditional Baccalaureate Nursing Program

GRANT AGENCY: DHHS: Bureau Health Professions Div. of Nursing

PRINCIPAL INVESTIGATOR: Mattie Burton, PhD, RN

PERCENTAGE OF P.I. TIME DEVOTED TO GRANT: 10%

PURPOSE: To fund labor-intensive process of establishing BSN program during first three years.

CLIENTELE TO BE SERVED: Students and health care facilities

RELATIONSHIP TO SSU MISSION: Program expansion to meet area needs

OTHER AGENCIES/ORGANIZATIONS PARTICIPATING IN THE PROJECT: None

BRIEF DESCRIPTION HOW PROJECT WILL BE CONDUCTED: Community awareness and curriculum development followed by application made by program coordinator and faculty to Ohio Board of Nursing and Ohio Board of Regents, along with EPCC and accrediting body approval.

FUNDING PERIOD: July 2009 - June 2012

BUDGET:

Grant:

Direct Costs \$150,000

Indirect Costs \$12,000

Total \$162,000

Certified as True and Correct

@ 11/25/18

Secretary, SSU Board of Trustees Date

SUMMARY
Immersive Technology and Arts Center (ITAC)

AGENCY: U.S. Small Business Administration from Fiscal 2009 Congressional Earmark Program Requested by Congresswoman Jean Schmidt, 2nd Congressional District, Ohio.

UNIVERSITY CONTACT: Carl O. Hilgarth, Professor and Chairperson, Department of Industrial and Engineering Technologies

PURPOSE: The earmark provides Shawnee State University with funding to equip an ITAC for the Digital Simulation and Gaming Engineering Technology and Gaming and Simulation Development Arts. ITAC is a facility that will prepare students for the professionally challenging and changing technological needs of business, industry, and education in accordance with the university's mission statement.

CLIENTELE TO BE SERVED: ITAC will provide university students and faculty with the opportunity to learn advanced software development and the operation of motion capture equipment. This will provide the students with highly marketable skills and experience in a rapidly expanding technology. In addition, the facility will support Shawnee State University's outreach and high-tech entrepreneurial initiatives in southern Ohio and Appalachia that require access to motion capture technology.

BRIEF DESCRIPTION OF HOW PROJECT WILL BE CONDUCTED:

- Site and equipment survey and recommended location(s) and options –
- Site coordination visits of existing facilities and with equipment vendors.
- Office and computing facility requirements including security
- General arrangement plans and specifications for facility including cost estimates and acquisition/construction schedule.
- Facility initial operating capability (IOC) March 31, 2009.

TOTAL EARMARK: \$250,000

Certified as True and Correct
(W) 4/15/08
Secretary, SSU Board of Trustees Date

PERSONNEL ACTION ITEMS
NOVEMBER 2008 BOT MEETING
Actions submitted for approval August 30 to October 27, 2008
(Developed from information received in HR Department through October 27, 2008)

ACADEMIC AFFAIRS DIVISION

Nothing to report.

DIVISION OF FINANCE AND ADMINISTRATION

Nothing to report.

OHIO APPALACHIAN CENTER FOR HIGHER EDUCATION

Nothing to report.

PRESIDENT'S OFFICE

Nothing to report.

STUDENT AFFAIRS DIVISION

Nothing to report.

Certified as True and Correct	
	11/25/08
Secretary, SSU Board of Trustees	Date

PERSONNEL INFORMATION ITEMS
NOVEMBER 2008 BOT MEETING
Changes processed from August 30 to October 27, 2008
(Developed from information received in the HR Department through October 27, 2008)

ACADEMIC AFFAIRS DIVISION

Resignation – Faculty

Michael Olugbile, Senior Instructor in the Department of Fine, Digital, and Performing Arts, resignation effective December 31, 2008.

BUSINESS AFFAIRS DIVISION

Nothing to Report.

OHIO APPALACHIAN CENTER FOR HIGHER EDUCATION

Resignation – Administrative

Ruthie J. Haffner, Program Coordinator for OACHE, resignation effective September 22, 2008.

PRESIDENT'S OFFICE

Nothing to Report.

STUDENT AFFAIRS DIVISION

Nothing to Report.

Certified as True and Correct
C. H. H. H.
Secretary, SSU Board of Trustees Date

Resolution E07-08
Shawnee State University
Institutional Accountability Targets

WHEREAS, the University System of Ohio's Strategic Plan for Higher Education released on March 31, 2008 requires the presidents of each institution, with the approval of their Boards of Trustees, to submit to the Chancellor a document indicating how the institution will contribute to meeting the system-wide accountability measures by November 30, 2008; and

WHEREAS, it is expected that each institution will focus on the metrics most closely related to that institution's mission, and that each institution will not contribute equally to every metric; and

WHEREAS, Shawnee State University targets for each of the accountability measures have been developed through an analysis of current practices and trend data and campus-based discussions; and

WHEREAS, university targets with the exception of Measure #6 have been adapted and reported on the required template entitled "Institutional Accountability Reports for University System of Ohio Strategic Plan"; and

WHEREAS, the Board of Trustees judges these metrics to be appropriate to Shawnee State University's mission and recognizes that the Chancellor will review the submitted targets and may request revisions;

THEREFORE BE IT RESOLVED that the Shawnee State University Board of Trustees approves the targets and goals identified in the attached "Institutional Accountability Report" and directs the President to complete Measure #6 once the final guidelines for the measure have been established by the Chancellor's Office by targeting an improvement, above the base, of .5% each year of the plan. The President is further directed to submit the report to the Office of the Chancellor and direct the management and operations of the university to achieve these targets.

November 14, 2008

Certified as True and Correct	
	11/25/08
Secretary, SSU Board of Trustees	Date

Institutional Accountability Report for University System of Ohio Strategic Plan
 Note: Report includes all campuses totaled

Due November 30, 2008

E-mail to Paolo DeMaria

School Name:

Campus Contact Information:

pdemaria@regents.ohio.oh.us

Name:

Phone:

E-mail:

	Baseline Time Period	University System of Ohio			Institution						
		Baseline Level	2013-14 Target	2017-18 Target	Baseline Level	2008-2009	2009-2010	2010-2011	2011-2012	2012-2013	2013-2014
Total Degrees Awarded (Annual)	2006-2007	72,657	89,063	100,000	792	665	715	784	844	903	965
Associate	2006-2007	18,156	24,062	28,000	244	236	240	244	248	252	254
Bachelor's	2006-2007	37,816	46,326	52,000	448	417	460	505	555	605	660
Graduate	2006-2007	16,685	18,674	20,000	0	12	15	35	41	46	51
1. Total post-secondary enrollment (Fall)	Fall 2006	472,694	610,694	702,694	3897	3979	4178	4387	4606	4837	5078
2. Total STEM degrees Awarded (Annual)	2006-2007	22,005	35,208	44,010	300	263	276	289	304	319	335
3. Total enrollees age 25 and older (Fall)	2006-2007	171,294	279,326	351,347	1042	909	919	921	921	967	1016
4. Total degrees awarded to first generation college students (Annual)	2006-2007	19,418	27,767	33,333	272	229	242	255	269	283	302
5. Percent of total degrees awarded to Black and Hispanic students (Annual)	2006-2007	8.63%	11.84%	13.98%	1.45%	2.70%	3.20%	3.70%	4.20%	4.70%	5.00%
6. Improvement in actual graduation rate over expected graduation rate (Universities only, Community College metric under development)	Fall 2000 Cohort, through Summer 2006	same			TBA	TBA	TBA	TBA	TBA	TBA	TBA
7. Measuring the system's reputation: Number of first time enrollees in the top 20% SAT/ACT (at University Main Campuses) (Fall)	Fall 2007	13,866	18,026	20,799	98	141	141	141	141	141	196
8. Percent of facilities in satisfactory condition or needing only minor rehabilitation (Fall)	2006-2007	64.07%	67.63%	70.00%	100%	100%	100%	100%	100%	100%	100%
9. Total size of endowments and foundations per FTE (Annual)	2006-2007	10,573	\$16,917	\$21,146	\$3,780	\$3,800	\$3,800	\$3,800	\$3,800	\$3,800	\$3,800
10. Federally financed research spending (Annual)	2006-2007	\$640,168,000									\$100,000
Per capita- national rank		30	Top 20	Top 10							
11. Average out of pocket cost	See Affordability Report										
12. Tuition and fees weighted average of bachelor's degree offered on a community college or university regional campus- national rank (Annual)		TBD	TBD	Top 10	NA	NA	NA	NA	NA	NA	NA
13. State funding per FTE- relationship to the national average (annual)	Statewide Measure	(\$420) Million	(\$168) Million	1\$ above nat'l avg							
14. Percentage of first time enrollees below age 21 with equivalent of one semester or more of college credit earned during high school (Fall)	Fall 2006	5.50%	14.20%	20%	5.76%	5.00%	5.00%	7.00%	7.00%	10.00%	10.00%
15. (Universities) Percentage of bachelor's degree recipients with at least one year of credit from a community college (Annual)	2006-2007	8.80%	18.50%	25%	9.38%	10.00%	10.00%	11.00%	11.00%	12.00%	12.00%
15. (Community Colleges) Transfer Metric currently under development with guidance from OACC											
16. Industrially financed research spending (Annual)	2006-2007	\$125,359,000									\$50,000
Per capita- national rank		5	Top 3	1							
17. Globalization measure (Annual): Total international students	2006-2007	13,538	26,496	35,134	12	28	41	56	71	85	100
Ohio students studying abroad annually	2006-2007	6,328	12,379	16,413	4	10	13	16	19	22	25
18. Knowledge Transfer Measure- TBD		TBD	TBD	TBD	TBD	TBD	TBD	TBD		TBD	TBD
19. Business satisfaction- measured through survey		TBD	TBD	TBD	TBD	TBD	TBD	TBD		TBD	TBD
20. Number of students engaged in internships and co-ops (Fall)	Fall 2006 students with co-op/ internship sometime in 2006-2007	46,443	78,577	100,000	654	604	684	764	844	924	1000

Certified as True and Correct

Secretary, SSU Board of Trustees Date

RESOLUTION E08-08

SHAWNEE STATE UNIVERSITY Affordability – Good Faith Estimates

WHEREAS, the University System of Ohio (USO) Strategic Plan for Higher Education released on March 31, 2008 requires each institution to submit a Good Faith Estimate Biennial Affordability Report to the Chancellor's office by November 30, 2008; and

WHEREAS, the required templates have been completed as a result of a collaborative effort involving the Finance and Administration office, the Department of Institutional Research, Financial Aid, President's office and others; and

WHEREAS, every effort has been made to comply with the guidelines provided by the Ohio Board of Regents entitled "Guidelines for Biennial Affordability Good Faith Estimates; and

WHEREAS, the Guidelines state that these "good faith estimates require assumptions that inherently involve some amount of forecast error ...and that there is no intention by the Chancellor to force institutions to perform at the exact levels projected;" and

WHEREAS, it is understood that the Chancellor will review the estimates and may require changes;

NOW THEREFORE BE IT RESOLVED that the Board of Trustees hereby authorizes the President to respond to the requirements of the Strategic Plan and to submit the required Good Faith Estimate Biennial Affordability Reports to the Chancellor by the stated deadline.

(November 14, 2008)

Certified as True and Correct	
	
Secretary, SSU Board of Trustees	Date

Institutional Affordability Report for University System of Ohio Strategic Plan				
University Main Campuses				
Due November 30, 2008				
E-mail to Paolo DeMaria	pdemaria@regents.ohio.oh.us			
School Name:	Shawnee State University			
Campus Contact Information:	Name:	Elinda Boyles	Tuition Increase 6.0%	
	Phone:	740.351.3005		
	E-mail:	eboyles@shawnee.edu		
% Subsidy Change Assumption:			100%	100%
Expected Family Contribution	2007-2008 School Year (actual)	2008-2009 School Year (actual)	2009-2010 School Year (estimate)	2010-2011 School Year (Estimate)
\$0				
# of Students	779	818	870	891
% of Students included in this survey	30.05%	28.69%	29.38%	29.02%
Average Gross Tuition and Fees	\$4,543,128	\$4,770,576	\$5,378,270	\$5,838,580
Average Grants	\$4,937,302	\$5,474,056	\$5,834,150	\$5,988,126
Average Net Tuition and Fees	(\$394,174)	(\$703,480)	(\$455,880)	(\$149,545)
\$1 - \$2,190				
# of Students	534	526	578	583
% of Students included in this survey	20.60%	18.45%	19.52%	18.99%
Average Gross Tuition and Fees	\$3,114,288	\$3,067,632	\$3,573,150	\$3,820,306
Average Grants	\$2,758,644	\$2,956,120	\$3,264,937	\$3,310,904
Average Net Tuition and Fees	\$355,644	\$111,512	\$308,213	\$509,402
\$2,191 - \$4,041				
# of Students	246	265	278	287
% of Students included in this survey	9.49%	9.29%	9.39%	9.35%
Average Gross Tuition and Fees	\$1,434,672	\$1,545,480	\$1,718,574	\$1,880,665
Average Grants	\$650,424	\$807,190	\$861,466	\$905,419
Average Net Tuition and Fees	\$784,248	\$738,290	\$857,107	\$975,246
\$4,042 - \$10,000				
# of Students	486	555	566	592
% of Students included in this survey	23.77%	19.47%	19.12%	19.28%
Average Gross Tuition and Fees	\$2,834,352	\$3,236,760	\$3,498,967	\$3,879,281
Average Grants	\$574,452	\$794,760	\$810,512	\$847,744
Average Net Tuition and Fees	\$2,259,900	\$2,442,000	\$2,688,455	\$3,031,537
\$10,001 - \$20,000				
# of Students	365	421	427	448
% of Students included in this survey	15.15%	14.77%	14.42%	14.59%
Average Gross Tuition and Fees	\$2,128,680	\$2,455,272	\$2,639,680	\$2,935,672
Average Grants	\$436,540	\$556,562	\$564,494	\$592,256
Average Net Tuition and Fees	\$1,692,140	\$1,898,710	\$2,075,186	\$2,343,416
\$20,001 and up				
# of Students	182	266	242	269
% of Students included in this survey	7.02%	9.33%	8.17%	8.76%
Average Gross Tuition and Fees	\$1,061,424	\$1,551,312	\$1,496,025	\$1,762,714
Average Grants	\$243,152	\$361,760	\$329,120	\$365,840
Average Net Tuition and Fees	\$818,272	\$1,189,552	\$1,166,905	\$1,396,874
All estimates are for full-time, full-year, Ohio resident, undergraduate students who fill out the FAFSA				
% of total student body that is included in these estimates	70.07%	71.71%	70.87%	71.35%
Note: This does not include costs other than tuition and mandatory fees, such as room and board, textbooks, degree/ program specific fees and parking fees.				

Certified as True and Correct

Secretary, SSU Board of Trustees Date

INSTITUTIONAL AFFORDABILITY REPORT

Assumptions Behind Good Faith Estimates

State Share of Instruction:

- FY2009/10 and FY2010/11 - assumes OBR draft estimate of 100% using new taxonomy and stop loss

Number of Students

- 2007-08 and 2008-09 actual;
- 2009-10 & 2010-11 projections includes all successful and completed FAFSA filers who meet the following:
 - Undergraduate
 - Degree-seeking
 - Fall Semester Enrollment
 - Full-Time (12 credit hours)
 - Enrolled in an eligible Title IV academic program
 - Dependent or Independent, according to Title IV definitions
 - Ohio-Residents or Ohio reciprocal counties
- 2009-10 and 2010-11 Number of Students projection assumes proportionality through an averaged percentage of 2007-08 Number of Students by EFC level against the Total Student Body (headcount) and an averaged percentage of 2008-09 Number of Students against the Total Student Body multiplied by the projected Total Student Body for the applicable academic year

Average Grants

- Eligible types of grant aid include federal grant aid, state grant aid, institutional grant aid, institutional fee waivers, foundation grants and scholarships
- Excluded grant aid includes external scholarships, VA educational benefits, and 3rd party payments
- Not-capped at tuition and fees
- 2009-10 and 2010-11 projection assumes no changes to 2008-09 Federal Methodology formula
- 2009-10 and 2010-11 Grant projection assumes EFC range proportionality through an averaged percentage of 2007-08 Average Grants against the Average Gross Tuition and Fees and an averaged percentage of 2008-09 Average Grants against the Average Gross Tuition and Fees multiplied by the anticipated Average Gross Tuition and Fees for the applicable academic year
- Assumes no changes (increase or decrease) to all Federal Grant dollars
- Does include TEACH grant dollars awarded for Fall 2008
- Does include Return to Title IV re-calculated aid dollars for Fall 2007
- Assumes no changes to existing Ohio Instructional Grant or Ohio College Opportunity Grant dollars

Total Study Body Count

- Includes all undergraduate students (full time and part time) who are seeking and are enrolled in an eligible Title IV program.

Tuition/Fees

- Assumes a 6% increase of instructional, general & technology fees over prior year rates
- Assumes a 6% increase to institutional aid (tuition sensitive and fee waivers) for students in \$0 - \$4041 EFC categories.

Certified as True and Correct

Secretary, SSU Board of Trustees Date

Institutional Affordability Report for University System of Ohio Strategic Plan
University Main Campuses

Due November 30, 2008

E-mail to Paolo DeMaria

School Name:

Campus Contact Information:

pdemaria@regents.ohio.oh.us

Shawnee State University

Name:

Phone:

E-mail:

Elinda Boyles

740.351.3005

eboyles@shawnee.edu

Tuition Increase

5.0%

% Subsidy Change Assumption:

102%

102%

	2007-2008 School Year (actual)	2008-2009 School Year (actual)	2009-2010 School Year (estimate)	2010-2011 School Year (Estimate)
Expected Family Contribution				
\$0				
# of Students	779	818	870	891
% of Students included in this survey	30.05%	28.69%	29.38%	29.02%
Average Gross Tuition and Fees	\$4,543,128	\$4,770,576	\$5,327,532	\$5,728,934
Average Grants	\$4,937,302	\$5,474,056	\$5,832,132	\$5,983,760
Average Net Tuition and Fees	(\$394,174)	(\$703,480)	(\$504,600)	(\$254,826)
\$1 - \$2,190				
# of Students	534	526	578	583
% of Students included in this survey	20.60%	18.45%	19.52%	18.99%
Average Gross Tuition and Fees	\$3,114,288	\$3,067,632	\$3,539,441	\$3,748,562
Average Grants	\$2,758,644	\$2,956,120	\$3,262,174	\$3,305,027
Average Net Tuition and Fees	\$355,644	\$111,512	\$277,267	\$443,535
\$2,191 - \$4,041				
# of Students	246	265	278	287
% of Students included in this survey	9.49%	9.29%	9.39%	9.35%
Average Gross Tuition and Fees	\$1,434,672	\$1,545,480	\$1,702,361	\$1,845,347
Average Grants	\$650,424	\$807,190	\$859,020	\$900,089
Average Net Tuition and Fees	\$784,248	\$738,290	\$843,341	\$945,257
\$4,042 - \$10,000				
# of Students	486	555	566	592
% of Students included in this survey	23.77%	19.47%	19.12%	19.28%
Average Gross Tuition and Fees	\$2,834,352	\$3,236,760	\$3,419,744	\$3,705,600
Average Grants	\$574,452	\$794,760	\$810,512	\$847,744
Average Net Tuition and Fees	\$2,259,900	\$2,442,000	\$2,609,232	\$2,857,856
\$10,001 - \$20,000				
# of Students	365	421	427	448
% of Students included in this survey	15.15%	14.77%	14.42%	14.59%
Average Gross Tuition and Fees	\$2,128,680	\$2,455,272	\$2,614,777	\$2,880,541
Average Grants	\$436,540	\$556,562	\$564,494	\$592,256
Average Net Tuition and Fees	\$1,692,140	\$1,898,710	\$2,050,283	\$2,288,285
\$20,001 and up				
# of Students	182	266	242	269
% of Students included in this survey	7.02%	9.33%	8.17%	8.76%
Average Gross Tuition and Fees	\$1,061,424	\$1,551,312	\$1,481,911	\$1,729,611
Average Grants	\$243,152	\$361,760	\$329,120	\$365,840
Average Net Tuition and Fees	\$818,272	\$1,189,552	\$1,152,791	\$1,363,771
All estimates are for full-time, full-year, Ohio resident, undergraduate students who fill out the FAFSA				
% of total student body that is included in these estimates	70.07%	71.71%	70.87%	71.35%

Note: This does not include costs other than tuition and mandatory fees, such as room and board, textbooks, degree/ program specific fees and parking fees.

Certified as True and Correct

 Secretary, SSU Board of Trustees Date

INSTITUTIONAL AFFORDABILITY REPORT

Assumptions Behind Good Faith Estimates

State Share of Instruction:

- FY2009/10 and FY2010/11 - assumes OBR draft estimate of 102% using new taxonomy and stop loss

Number of Students

- 2007-08 and 2008-09 actual;
- 2009-10 & 2010-11 projections includes all successful and completed FAFSA filers who meet the following:
 - Undergraduate
 - Degree-seeking
 - Fall Semester Enrollment
 - Full-Time (12 credit hours)
 - Enrolled in an eligible Title IV academic program
 - Dependent or Independent, according to Title IV definitions
 - Ohio-Residents or Ohio reciprocal counties
- 2009-10 and 2010-11 Number of Students projection assumes proportionality through an averaged percentage of 2007-08 Number of Students by EFC level against the Total Student Body (headcount) and an averaged percentage of 2008-09 Number of Students against the Total Student Body multiplied by the projected Total Student Body for the applicable academic year

Percent of Total Student Body that is included in these Estimates

- Total Student Body includes all undergraduate students (full-time and part-time enrollment) who are degree seeking and enrolled in an eligible Title IV program.

Average Grants

- Eligible types of grant aid include federal grant aid, state grant aid, institutional grant aid, institutional fee waivers, foundation grants and scholarships
- Excluded grant aid includes external scholarships, VA educational benefits, and 3rd party payments
- Not-capped at tuition and fees
- 2009-10 and 2010-11 projection assumes no changes to 2008-09 Federal Methodology formula
- 2009-10 and 2010-11 Grant projection assumes EFC range proportionality through an averaged percentage of 2007-08 Average Grants against the Average Gross Tuition and Fees and an averaged percentage of 2008-09 Average Grants against the Average Gross Tuition and Fees multiplied by the anticipated Average Gross Tuition and Fees for the applicable academic year
- Assumes no changes (increase or decrease) to all Federal Grant dollars
- Does include TEACH grant dollars awarded for Fall 2008
- Does include Return to Title IV re-calculated aid dollars for Fall 2007
- Assumes no changes to existing Ohio Instructional Grant or Ohio College Opportunity Grant dollars

Total Student Body Count

- Includes all undergraduate students (full time and part time) who are seeking and are enrolled in an eligible Title IV program.

Tuition/Fees

- Assumes a 5% increase of instructional, general & technology fees over prior year rates
- Assumes a 5% Increase to institutional aid (tuition-sensitive and fee waivers) for students in EFC levels \$0 - \$4,041.

Institutional Affordability Report for University System of Ohio Strategic Plan
University Main Campuses

Due November 30, 2008

E-mail to Paolo DeMaria

School Name:

Campus Contact Information:

pdemaria@regents.ohio.oh.us

Shawnee State University

Name:

Phone:

E-mail:

Elinda Boyles

740.351.3005

eboyles@shawnee.edu

Tuition Increase

3.6%

% Subsidy Change Assumption:

103.6%

103.6%

Expected Family Contribution	2007-2008 School Year (actual)	2008-2009 School Year (actual)	2009-2010 School Year (estimate)	2010-2011 School Year (Estimate)
\$0				
# of Students	779	818	870	891
% of Students included in this survey	30.05%	28.69%	29.38%	29.02%
Average Gross Tuition and Fees	\$4,543,128	\$4,770,576	\$5,256,497	\$5,577,179
Average Grants	\$4,937,302	\$5,474,056	\$5,829,305	\$5,977,719
Average Net Tuition and Fees	(\$394,174)	(\$703,480)	(\$572,808)	(\$400,540)
\$1 - \$2,190				
# of Students	534	526	578	583
% of Students included in this survey	20.60%	18.45%	19.52%	18.99%
Average Gross Tuition and Fees	\$3,114,288	\$3,067,632	\$3,492,247	\$3,649,265
Average Grants	\$2,758,644	\$2,956,120	\$3,258,307	\$3,296,888
Average Net Tuition and Fees	\$355,644	\$111,512	\$233,940	\$352,377
\$2,191 - \$4,041				
# of Students	246	265	278	287
% of Students included in this survey	9.49%	9.29%	9.39%	9.35%
Average Gross Tuition and Fees	\$1,434,672	\$1,545,480	\$1,679,662	\$1,796,465
Average Grants	\$650,424	\$807,190	\$855,595	\$892,714
Average Net Tuition and Fees	\$784,248	\$738,290	\$824,067	\$903,752
\$4,042 - \$10,000				
# of Students	486	555	566	592
% of Students included in this survey	23.77%	19.47%	19.12%	19.28%
Average Gross Tuition and Fees	\$2,834,352	\$3,236,760	\$3,419,744	\$3,705,600
Average Grants	\$574,452	\$794,760	\$810,512	\$847,744
Average Net Tuition and Fees	\$2,259,900	\$2,442,000	\$2,609,232	\$2,857,856
\$10,001-\$20,000				
# of Students	365	421	427	448
% of Students included in this survey	15.15%	14.77%	14.42%	14.59%
Average Gross Tuition and Fees	\$2,128,680	\$2,455,272	\$2,579,913	\$2,804,238
Average Grants	\$436,540	\$556,562	\$564,494	\$592,256
Average Net Tuition and Fees	\$1,692,140	\$1,898,710	\$2,015,419	\$2,211,982
\$20,001 and up				
# of Students	182	266	242	269
% of Students included in this survey	7.02%	9.33%	8.17%	8.76%
Average Gross Tuition and Fees	\$1,061,424	\$1,551,312	\$1,462,152	\$1,683,795
Average Grants	\$243,152	\$361,760	\$329,120	\$365,840
Average Net Tuition and Fees	\$818,272	\$1,189,552	\$1,133,032	\$1,317,955
All estimates are for full-time, full-year, Ohio resident, undergraduate students who fill out the FAFSA				
% of total student body that is included in these estimates	70.07%	71.71%	70.87%	71.35%

Note: This does not include costs other than tuition and mandatory fees, such as room and board, textbooks, degree/ program specific fees and parking fees.

Certified as True and Correct

 Secretary, SSU Board of Trustees Date

INSTITUTIONAL AFFORDABILITY REPORT

Assumptions Behind Good Faith Estimates

State Share of Instruction:

- FY2009/10 and FY2010/11 - assumes 103.6% of prior year (all lines) state support

Number of Students

- 2007-08 and 2008-09 actual;
- 2009-10 & 2010-11 projections includes all successful and completed FAFSA filers who meet the following:
 - Undergraduate
 - Degree-seeking
 - Fall Semester Enrollment
 - Full-Time (12 credit hours)
 - Enrolled in an eligible Title IV academic program
 - Dependent or Independent, according to Title IV definitions
 - Ohio-Residents or Ohio reciprocal counties
- 2009-10 and 2010-11 Number of Students projection assumes proportionality through an averaged percentage of 2007-08 Number of Students by EFC level against the Total Student Body (headcount) and an averaged percentage of 2008-09 Number of Students against the Total Student Body multiplied by the projected Total Student Body for the applicable academic year

Average Grants

- Eligible types of grant aid include federal grant aid, state grant aid, institutional grant aid, institutional fee waivers, foundation grants and scholarships
- Excluded grant aid includes external scholarships, VA educational benefits, and 3rd party payments
- Not-capped at tuition and fees
- 2009-10 and 2010-11 projection assumes no changes to 2008-09 Federal Methodology formula
- 2009-10 and 2010-11 Grant projection assumes EFC range proportionality through an averaged percentage of 2007-08 Average Grants against the Average Gross Tuition and Fees and an averaged percentage of 2008-09 Average Grants against the Average Gross Tuition and Fees multiplied by the anticipated Average Gross Tuition and Fees for the applicable academic year
- Assumes no changes (increase or decrease) to all Federal Grant dollars
- Does include TEACH grant dollars awarded for Fall 2008
- Does include Return to Title IV re-calculated aid dollars for Fall 2007
- Assumes no changes to existing Ohio Instructional Grant or Ohio College Opportunity Grant dollars

Total Student Body Count

- Includes all undergraduate students (full time and part time) who are seeking and are enrolled in an eligible Title IV program.

Tuition/Fees

- Assumes a 3.6% increase of instructional, general & technology fees over 2009 and 2010 rates for the applicable year
- Assumes a 3.6% increase in institutional aid (tuition sensitive and fee waivers) for students in \$0 - \$4041 EFC categories.